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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

KEO et al

Serial No.:

10/001,252

Filed:

November 15, 2001

For: SMOOTHING FACETS ON AN OPTICAL COMPONENT



CERTIFICATION UNDER 37 CFR § 1.8

I hereby certify that the documents referred to as enclosed herein are being deposited with the United States Postal Service as first class mail on this date 24 January 2002, in an envelope addressed to:  
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Terrance A. Meador

Date

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Sir:

INFORMATION DISCLOSURE STATEMENT

Applicant hereby cites the documents listed in accompany Form PTO-1449 with respect to the above-referenced patent application under the provisions of 37 CFR 1.97(b). Copies of the documents are attached.

The Examiner is respectfully requested to make the listed documents of record in connection with the prosecution of the subject application.

Respectfully submitted,

Terrance A. Mead

Date: 24 January 2002

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				Application Number	10/001,252
				Filing Date	11/15/01
				First Named Inventor	KEO
				Group Art Unit	2874
				Examiner Name	Unknown
SHEET	1	OF	6	Docket Number	LIGHT2380

#### U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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INFORMATION DISCLOSURE STATEMENT BY APP <sup>L</sup> ICANT <sup>S</sup> P <sup>A</sup> TENT <sup>M</sup> O <sup>F</sup> ICE <sup>C</sup>				Filing Date	11/15/01
(use as many sheets necessary)				First Named Inventor	KEO
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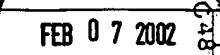
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	98	RICKMAN, A.G. et al., <i>Silicon-on-Insulator Optical Rib Waveguide Loss and Mode Characteristics</i> , Journal of Lightwave Technology, October 1994, Vol. 12 No. 10, pp 1771-1776	
	99	ROLLAND, C. et al., <i>10 Gbit/s, 1.56 μm, Multiquantum Well InP/InGaAsP Mach-Zehnder Optical Modulator</i> , Electronics Letters, Mar 4, 1993, VOL 29, No.5, pg 471-472	TECH
	100	Santec Sales Brochure for year 2000 entitled "Optical Components"	
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	102	SCHLACHTZKI, A. <i>Monolithic IO-Technology-Modulators and Switches Based on InP</i> ; SPIE VOL 651 Integrated Optical Circuit Engineering II (1986), pg 60-86	TECH
	103	SILBERBERG, Y. et al., <i>Digital Optical Switch</i> ; Appl. Phys. Lett.; VOL 51, No.16, Oct 19, 1987, pg 152-154	
	104	SMIT, M.K., <i>New Focusing and Dispersive Planar Component Based on an Optical Phased-Array</i> ; Electronics Letters; Mar 31, 1988, VOL 24, No.7; Pg 385-386	REF
	105	SMITH, S.D. et al., <i>CW Operation of Corner Cavity Semiconductor Lasers</i> ; IEEE Photonics Technology Letters, VOL 5, No.8, Aug 1993; pg 876-879	REF
	106	SNEH, A. et al., <i>Compact Low Crosstalk and Low Propagation Loss Quantum-Well Y-Branch Switches</i> ; PDP 4-1 ~ 4-5	
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	108	STOLL, L. et al., <i>1:8 Optical Matrix Switch on InP/InGaAsP with Integrated Mode Transformers</i> ; Optical Switches and Modulators II, pg 531-534	
	109	STOLL, L. et al., <i>Compact and Polarization Independent Optical Switch on InP/InGaAsP</i> ; TuB7.2; pg 337-340	
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	111	SÜGIE, T. et al., <i>1.3-μm Laser Diodes with a Butt-jointed Selectively Grown Spot-Size Converter</i> , ThB2-6, IOC95, pg 52-53	
	112	TADA, K. et al., <i>Bipolar Transistor Carrier-Injected Optical Modulator/Switch: Proposal and Analysis</i> , IEEE Electron Device Letters, VOL EDL-7, No.11, Nov 1986, pg 605-606	
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	118	TREYZ, G.V. et al., <i>Silicon Optical Modulators at 1.3 μm Based on Free-Carrier Absorption</i> ; IEEE Electron Device Letters, VOL 12, No.6, June 1991; pg 276-278	
	119	TSUDA, H. et al., <i>Performance Analysis of a Dispersion Compensator Using Arrayed-Waveguide Gratings</i> , Journal of Lightwave Technology, August 2000, Vol. 18-No.8, pp 1139-1147.	

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